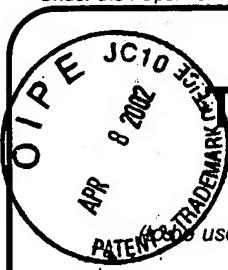


(13)

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# TRANSMITTAL FORM

used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	10/033,323
Filing Date	12/28/2001
First Named Inventor	Thomas Rueckes et al.
Group Art Unit	2818
Examiner Name	Unknown
Attorney Docket Number	112020.127 (NAN-4)

## ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input checked="" type="checkbox"/> Drawing(s) Formals 24 Sheets	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application		
<input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
	Remarks	
	1.) Executed Declaration of Darren K.Brock, attached to copy of Specification as filed on December 28, 2001 2.) Part 2 - Formalities Letter 3.) Return Postcard	

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Peter M. Dichiara, Registration No. 38,005 Hale and Dorr LLP, 60 State Street, Boston, MA 02109
Signature	
Date	04/02/2002

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date:

04/02/2002

Typed or printed name	Tina M. Dougal
Signature	
	Date
	04/02/2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. The will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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# TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 65.00)

## Complete if Known

Application Number	10/033,323
Filing Date	12/28/2001
First Named Inventor	Thomas Rueckes et al.
Examiner Name	Unknown
Group Art Unit	2818
Attorney Docket No.	112020.127 (NAN-4)

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number

08-0219

Deposit Account Name

Hale and Dorr LLP

- Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17

- Applicant claims small entity status.  
See 37 CFR 1.27

2.  Payment Enclosed:

Check  Credit card  Money Order  Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
101	740	201 370 Utility filing fee	
106	330	206 165 Design filing fee	
107	510	207 255 Plant filing fee	
108	740	208 370 Reissue filing fee	
114	160	214 80 Provisional filing fee	

SUBTOTAL (1) (\$ 0.00)

## 2. EXTRA CLAIM FEES

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid
			-20** =	X =	
			- 3** =	X =	

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description
103	18	203 9 Claims in excess of 20
102	84	202 42 Independent claims in excess of 3
104	280	204 140 Multiple dependent claim, if not paid
109	84	209 42 ** Reissue independent claims over original patent
110	18	210 9 ** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 0.00)

\*\*or number previously paid, if greater; For Reissues, see above

## 3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130	205 65 Surcharge - late filing fee or oath	65.00
127	50	227 25 Surcharge - late provisional filing fee or cover sheet	
139	130	139 130 Non-English specification	
147	2,520	147 2,520 For filing a request for ex parte reexamination	
112	920*	112 920* Requesting publication of SIR prior to Examiner action	
113	1,840*	113 1,840* Requesting publication of SIR after Examiner action	
115	110	215 55 Extension for reply within first month	
116	400	216 200 Extension for reply within second month	
117	920	217 460 Extension for reply within third month	
118	1,440	218 720 Extension for reply within fourth month	
128	1,960	228 980 Extension for reply within fifth month	
119	320	219 160 Notice of Appeal	
120	320	220 160 Filing a brief in support of an appeal	
121	280	221 140 Request for oral hearing	
138	1,510	138 1,510 Petition to institute a public use proceeding	
140	110	240 55 Petition to revive - unavoidable	
141	1,280	241 640 Petition to revive - unintentional	
142	1,280	242 640 Utility issue fee (or reissue)	
143	460	243 230 Design issue fee	
144	620	244 310 Plant issue fee	
122	130	122 130 Petitions to the Commissioner	
123	50	123 50 Processing fee under 37 CFR 1.17(q)	
126	180	126 180 Submission of Information Disclosure Stmt	
581	40	581 40 Recording each patent assignment per property (times number of properties)	
146	740	246 370 Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249 370 For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279 370 Request for Continued Examination (RCE)	
169	900	169 900 Request for expedited examination of a design application	
Other fee (specify) _____			

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 65.00)

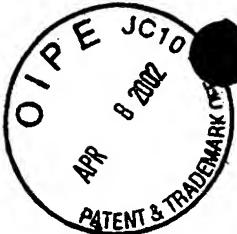
## SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Peter M. Dichiara	Registration No. (Attorney/Agent)	38,005	Telephone	617-526-6466
Signature				Date	04/02/2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231 DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



#3

PATENT - Attorney Docket No. 112.020.127

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Thomas Rueckes et al.

Serial No.: 10/033,323

Examiner: Not Assigned

Filed: December 28, 2001

Group Art Unit: 2818

For: ELECTROMECHANICAL THREE-TRACE JUNCTION DEVICES

Box Missing Parts  
Commissioner for Patents  
Washington, D.C. 20231

## CERTIFICATE OF MAILING UNDER 37 C.F.R. 1.8(a)

I hereby certify that this correspondence and any enclosures referenced herein are being deposited with the United States Postal Service as First Class Mail in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington D.C. 20231.

---

April 2, 2002

Date

A handwritten signature in cursive ink that reads "Tina M. Dougal".

Tina M. Dougal

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF NON-PROVISIONAL  
APPLICATION  
Filed Under 37CFR 1.53(b)  
(FILING DATE GRANTED)**

Sir:

In response to the Notice to File Missing Parts of Nonprovisional Application (Filing Date Granted) mailed February 6, 2002, enclosed for filing in the above-identified patent application are the following documents:

1. Executed Declaration and Power of Attorney of Darren K. Brock, attached to copy of specification as originally filed on December 28, 2001;
2. Twenty-four (24) sheets of Formal Drawings;
3. Part 2 - Return Copy of Notice of Missing Parts of Nonprovisional Application; and,
4. Fee Transmittal.

Also enclosed is a postage prepaid, self-addressed postcard. Please stamp the date of receipt of the subject documents and return the postcard to the undersigned accordingly.

The Commissioner is hereby authorized to deduct the surcharge of \$65.00 to Deposit Account No. 08-0219 (small entity fee).

Serial No. 10/033,323  
Rueckes et al.  
Page 2

Please charge any fee deficiency or credit any overpayment in connection with this matter to Deposit Account No. 08-0219.

Respectfully submitted,

Dated: April 2, 2002



Peter M. Dichiara  
Registration No. 38,005  
Attorney for Applicants

Hale and Dorr LLP  
60 State Street  
Boston, Massachusetts 02109  
(617) 526-6466 (Telephone)  
(617) 526-5000 (Facsimile)



## UNITED STATES PATENT AND TRADEMARK OFFICE

#3

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/033,323	12/28/2001	Thomas Rueckes	112020.127

## CONFIRMATION NO. 9664

## FORMALITIES LETTER



\*OC00000007433753\*

Peter M. Dichiara  
Hale and Dorr LLP  
60 State Street  
Boston, MA 02109

Date Mailed: 02/06/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

## FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The signature of the following inventor(s) is missing from the oath or declaration:  
*Darren K. Brock*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 65.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

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*A copy of this notice **MUST** be returned with the reply.*

04/09/2002 YPOLITE1 00000056 080219 10033323

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65.00 CH

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**Customer Service Center**

Initial Patent Examination Division (703) 308-1202

**PART 2 - COPY TO BE RETURNED WITH RESPONSE**